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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/077,429	02/15/2002	Philip M. Green	C37780/123357	3592
7590	10/27/2005		EXAMINER	
CHARLES T. J. WEIGELL BRYAN CAVE LLP 1290 AVENUE OF THE AMERICAS NEW YORK, NY 10104			ZEENDER, FLORIAN M	
			ART UNIT	PAPER NUMBER
			3627	

DATE MAILED: 10/27/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)
	10/077,429	GREEN, PHILIP M.
Examiner	Art Unit	
F. Ryan Zeender	3627	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

1) Responsive to communication(s) filed on 8/15/2005.  
 2a) This action is FINAL.                            2b) This action is non-final.  
 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

4) Claim(s) 1,2,4-10 and 12-28 is/are pending in the application.  
 4a) Of the above claim(s) 1,2,4-6,10,12-15 and 23-28 is/are withdrawn from consideration.  
 5) Claim(s) \_\_\_\_\_ is/are allowed.  
 6) Claim(s) 7-9 and 16-22 is/are rejected.  
 7) Claim(s) \_\_\_\_\_ is/are objected to.  
 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

9) The specification is objected to by the Examiner.  
 10) The drawing(s) filed on 15 February 2002 is/are: a) accepted or b) objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
 a) All    b) Some \* c) None of:  
 1. Certified copies of the priority documents have been received.  
 2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

1) Notice of References Cited (PTO-892)  
 2) Notice of Draftsperson's Patent Drawing Review (PTO-948)  
 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
 Paper No(s)/Mail Date \_\_\_\_\_.  
 4) Interview Summary (PTO-413)  
 Paper No(s)/Mail Date \_\_\_\_\_.  
 5) Notice of Informal Patent Application (PTO-152)  
 6) Other: \_\_\_\_\_.

**DETAILED ACTION**

***Election/Restrictions***

This application contains claims 1-2, 4-6, 10, 12-15, and 23-28 drawn to an invention nonelected with traverse in the correspondence received 3/14/2005. A complete reply to the final rejection must include cancellation of nonelected claims or other appropriate action (37 CFR 1.144) See MPEP § 821.01.

***Claim Rejections - 35 USC § 102***

Claims 7-9 and 16-22 are rejected under 35 U.S.C. 102(b) based upon a public use or sale of the invention. In the Information Disclosure Statement file 4/9/2002, the applicant indicated on page 4, last two lines, that BONY received payment "for the accounting services performed with the use of the system of the present invention inclusive of the accounting performed previously and up to that date". Because the applicant received payment for accounting services performed with the use of the invention prior to the critical 1 year bar date of February 15, 2001, the transaction constitutes a sale of the invention prior to the critical on-sale bar date.

***Claim Rejections - 35 USC § 103***

Claims 7-9 and 16-22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Blasnik et al.

Blasnik et al. disclose a method for accounting for a plurality of transactions for a plurality of accounts using a plurality of accounting rules, the accounts having a cost basis associated therewith, accounting information being derived for the transactions, and the derived accounting information being posted to a ledger.

The prior art lack the specific teaching of the sequence of the method steps, however the sequence would have been obvious to one of ordinary skill in the art at the time of the invention, in view of Blasnik et al., in order to acquire the final accounting information.

Regarding the limitation of debiting and crediting a plurality of ledger balances using a posting matrix containing 0, 1, and –1: Blasnik teaches a similar posting system (See for example paragraphs 0037-0040) which renders the limitation obvious in order to account for the entries.

### ***Response to Arguments***

Applicant's arguments and Affidavit filed 8/15/2005 have been fully considered but they are not persuasive.

Regarding the rejection under 102(b): Because there was actual compensation (albeit small compensation) for services performed using the invention, the transaction constitutes a sale of the invention.

Regarding the rejection under 103(a): The arguments are have been addressed in the rejection above.

### ***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to F. Ryan Zeender whose telephone number is (571) 272-6790. The examiner can normally be reached on Monday-Friday, 8am-5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alex Kalinowski can be reached on (571) 272-6771.

The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

F. Zeender  
Primary Examiner, A.U. 3627  
October 20, 2005

 10/20/05  
F. RYAN ZEENDER  
PRIMARY EXAMINER